

**eRIM Steering Committee Minutes
for the State of Montana
November 21, 2007**

Attendees:

Brad Johnson (SOS); Patti Borsberry (SOS); Judy Meadows (State Law Library); Mike Bousliman (MDT); Mark Van Alstyne (SOS); Ralph Peck (SOS); Dick Clark (DOA-ITSD); Randy Holm (DOA-ITSD); Jodie Foley (MHS); Jessie Laslovich (Senator); Susan Fox (Legislative Services); Tori Hunthausen (Legislative Audit); Laurie Lamson (DPHHS); Lois Menzies (Judicial); Darlene Staffeldt (MT State Library); Cheri Bergeron (OPI); Sheryl Wood (MT Association of Counties); Greg Noose (Justice); Janice Doggett (SOS); Sandra Broesder (Pondera County); Mike Cochrane (DOA-ITSD); Amy Carlson (OBPP).

Introductions and Opening Remarks

Patti Borsberry opened the meeting with a warm welcome and thank you to the members for agreeing to participate. This meeting and the persons attending have each been chosen by design. Records management, today, exists within statutes and then moved down several levels to procedures and guidelines. Records Management has never had policy infrastructure and as we take on the challenge of harnessing digital records and information, the need is even greater for it. Patti introduced the Committee's Co-chairs, Secretary of State Brad Johnson and State CIO Dick Clark.

Secretary Brad Johnson

Brad thanked the members and guests present for their commitment, as we, together, will create a pivotal beginning where agencies, across branches, can discuss the critical nature of this endeavor. In the areas of Records and Information Management (RIM), Brad stressed that we can no longer have complete independence of agencies. That instead, we must cooperate and collaborate. Montana is well positioned to start this endeavor. Johnson declared, "While we are not on the bleeding edge, we are on the cutting edge". He also specifically expressed a thank you to Dick and Patti for their leadership. This is a challenge that will not be easily met, but we are well positioned to get started.

CIO Dick Clark

This is the 800-pound gorilla that is in the room of all state agencies. Everyone wants a quick fix—an IT fix. Kudos to Patti for getting RIM education moving forward, however we cannot just go to an IT solution(s). We must deal with changing culture to understand the nature of records. Short term will not work. Education will. We have crossed the gamut in terms of representation. What is our charge—setting policies and procedures and provide training. We need to be in this for the long haul. "This could be a 10-year, strategic initiative, it's that large of an issue and challenge."

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State of the State – State Records Committee (SRC) Presentations

Patti Borsberry – Administrative representative

As mentioned earlier, each person is here by design. We are looking to executive management, to sponsor and support the management of digital information, in a digital age - across agencies. The stakeholders of RIM are expanding. No longer is this just a records management issue of storage in boxes, where the paper document supported the needs of agencies and the history of time. The hopeful outcome is to set policies that lead every agency to managing its content at the enterprise level. Enterprise Content Management – ECM; we should see ECM as another system or as the normal course of action required and adhered to.

Records management is really about process management within government. The challenge in the past has been that people, processes and policy seldom inter-operated in a way that would allow records management systems to increase operational efficiencies, increase worker productivity and reduce overall program costs. Thereby, providing value to government and its citizens.

Many, many process are now automated. With the content that is generated within these processes, we need only to take that initiative to apply upfront and back-end accountability to close the loop.

eRIM drivers include, but are not limited to: MT's open government laws, privacy vs. right to know, FERPA, Sedona guidelines, litigation, discovery/disclosure, everyday needs of agencies, eSignatures, redaction, searchability, authentication, defining data so we know what we are responsible to manage.

Enterprise Content Management (ECM) software integrated with Business Process Management (BPM) capabilities now allow people, process and policy to integrate. Understanding its power is the key to our success.

All of this can also be linked to performance and increased productivity. Our current operations allows for inefficiencies and silos of information with minimal compliance enforcement. We can turn that around. RIM within state is too small, we need more people who are better trained and can rely on compliance enforcement to back them. MCA 2-6-213 requires every agency to have a records custodian. While this is progress, the requirement is vague, broad and undefined. In agencies of considerable size (i.e., over 300), the responsibility is too much for the one person. Areas for policy:

- Establish agency RM personnel
- Every agency should have RM policy
- When outsourcing or consulting every contract's language should declare the records' ownership, management and retention requirements.
- Application analysis and design must include retention application.

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We'll be hearing from various subject matter experts (SMEs) from various agencies. Each has specific, educational insight, executive support or funding sources to speak on. We will need to look at where to begin and how. Throughout the months ahead, we will have a better knowledge base on which to base policy decisions, move forward with legislation and gain internal process improvements and efficiencies.

Patti explained the State Records Committee's existence and purpose to the group. Each member of the Committee has specific roles and responsibilities to uphold. These members have no authority rights and serve from as a guiding prospectus. They serve on a volunteer basis, ensuring the fundamentals of RIM are covered: administrative, legal, fiscal, IT and historic.

Introduction of the SRC members was provided and their specific area of expertise, along with the shared common goal for this committee, is to address the aspects of ECM:

| | |
|----------------------------|-------------------------------|
| Success and Sustainability | Planning, Readiness and Needs |
| Mitigating Risks | Laws, Regulations, Compliance |
| Information Technology | Institutional Knowledge |
| Culture and History | |

Greg Noose-Legal representative

We have reviewed 113 disposal requests or retentions schedules, this year. Not all state agencies comply with the rules regarding papers records. Are we doing any good? Yes. But there is room for improvement. For agencies that use the system, they get the expertise of the membership to meet legal standards, etc. Electronic records management is beyond the current framework. We deal, daily, with the complexity of online documents, IM (instant messaging), blogs, eMail, flash drives, embedded items and others. We need to support the support staff who are creating documents and increase their knowledge of what records are and what are the parameters they must be created under.

FOIA (Freedom of Information Act) and inadvertent disclosure of sensitive materials are challenges we all face.

Is policy and parameters the only answer? No, but it is a start. The agencies must drive the need and goals. We must remember that people are the drivers, not just the technologies.

ITSD is working on policies for portable records. It is needed.

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Mike Cochran-IT Representative

DOA-ITSD Customer Relations and Quality Assurance Bureau. Background: Retired military (Dept of Defense/DOD)—he is the user of technology and administrator of systems. This is not an IT issue—it is a business issue that must have IT elements. Has experience with DOD—e-signatures, efficiency in business processes.

MDT is going out with an RFP to survey their current records program and propose a system for eRIM. They're looking at what they we have now, what are the parameters, then lastly what tool will fit the needs. This is a culture change...people often go back to the paper systems rather than dealing with e-records. We need to move forward. There is a lot of information on the web that we can learn from. Need to look hard at other states and what they are doing too.

What we need:

- Getting access to information quickly
- Knowledge management (retiring employees)
- Policy and procedures are first steps
- Education to all levels of state employees. From the beginning of employment and to all employees through recurring education
- ITSD will be only part of the IT solutions...there are too many needs and differences..not all systems are alike.
- How do we get this started? A central repository...silos that are interconnected...
- Accountability. People are responsible for the records they generate. eRIM needs to be part of the job and not hinder employee daily activities.
- Staff assistance is needed. Agency visits from eRIM experts to assist in developing/improving their programs—fight for resources and training
- Must have full time RM staff to do this work in each agency
- Resources are key—how do we do this? Funding for technical solutions and people.
- Take a look at the Strategic Plan for Electronic Records Management, written 12/31/2004 and SOS web site for more information.

There needs to be a better relationship with IT and RIM within agencies to establish migration plans. Who owns the data? Memos of Understanding should be in place to state ownership and declare responsibility.

Jodie Foley-Archival/Preservation Representative

Jodie began her presentation with “Kudos!” by congratulating everyone for taking the first step in establishing a comprehensive, workable e-RIM program for the state of Montana. This promises to be a challenging process, but one that is desperately needed and cannot be accomplished without the combined talents and knowledge that are represented in the room today.

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Further, she congratulated the Secretary, CIO and Patti Borsberry for bringing this group together and shepherding us through the challenging course that lies ahead.

Why are we all here?

Because we understand that the consequences of not managing our e-records are dire.

- Loss of efficiency within and between our agencies
- Inability to meet demands of disaster recovery and continuity of operations
- Inability to meet legal challenges—access and privacy
- Administrative continuity and knowledge
- Financial accountability
- Public demands for a transparent government
- Loss of records that protect rights of our citizens.

Each of us, based on our missions, have concerns about specific types of records and information under our care.

The MT Historical Society's (MHS) concerns center on preserving cultural knowledge and memory that support the rights of our citizens.

What are the challenges of e-records?

- Transient nature of e-records...webpage content—average website lasts 44 days
- Volume...Email nation-wide Americans send over 97.3 Billion email a day
- Bewildering diversity of formats and storage environments.... causes accessibility problems such as: incompatibility, information silos, preservation challenges especially in relation to migration capabilities for long-term storage...

What role can the Montana State Archives play in this effort to build effective eRIM policies and procedures for the state?

Simply put, we have skills and access to information that will be invaluable in establishing effective eRIM policies:

- By statute (under Title 2 & 22 of MCA) we are tasked —“to collect, preserve and provide access to government records of administrative or historical significance” which we have been doing since 1865.
- The archives program, via the State Archivist, holds a place on the committees which provide oversight for the retention and disposal of state records—establishing general records retention schedules, approving agency created schedules, evaluating records disposal requests; and providing guidance and support for government agencies in managing their records.
- We have strong knowledge of:
 - appraisal techniques
 - filing systems,
 - government organizational structures,

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- records management techniques and goals,
 - authenticity and security issues,
 - preservation techniques and
 - effective methods of providing access.
- We have a strong network of resources to draw from through peers in other state government settings and professional organizations that have been grappling with the issues surrounding electronic records of all functions and in all formats—email to GIS.

What will we get out of the establishment of such policies and procedures?

It is estimated that only 2-5% of all the records created by state government will be deemed of administrative or historical significance. However we cannot meet our mission if government records are not managed properly. With paper records we could guide more from the sidelines—coming in near the end of a records life-cycle to determine its importance. With e-records we must be active participants much earlier—doing what we can to insure the records are created in a form or format that can be preserved.

What challenges do we face in fully participating in the establishment and maintenance of an eRIM program in Montana?

First and foremost, we do not currently have the infra-structure or staff to deal with electronic records. Challenges we currently face in relation to e-RIM:

- We do not accept electronic records—no servers, no document management system,
- no guidelines or procedures in place to ensure preservation and access, but we are building a framework

Goals for an eRIM program

A system that will allow most access, best preservation, guaranteed authenticity, and that addresses access issues for confidentiality:

- Cost effective (collaborative efforts essential)
- Open source software
- Redundancy
- Aggregated server capability for uniformity in access
- Local control of information regardless of where the servers reside
- Ability to address preservation and access needs for various formats (ie GIS, databases, photographs, imbedded or linked materials, video, and documents)
- Effective metadata for portability and access across platforms

Initiatives or projects currently working on that include digital collections and/or electronic records, more directly related to state government electronic records:

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1. Our intention to participate in an LOC grant awarded to Washington State Digital Archives. The two year project is aimed at establishing a regional digital collections repository for state and local government records—participants will collaboratively build the environments to assure authenticity, build migration and emulation plans, create portals or interfaces for their particular needs.

What is ‘Archiving’ in the Electronic Age?

Protecting machine readable records of enduring legal, historical or fiscal value from loss, alteration, deterioration and technological obsolescence in an environment independent from that which produced the record.

Mission of the Digital Archives

- Collect electronic records of enduring legal, historical or fiscal value
- Maintain these records in perpetuity in a useable state for the good of the public
- Make records that are discloseable & accessible to the public

New Federal Mandates to Manage Certain Electronic Records

As electronic records become more integrated into society, producers of those records will be held to higher standards of conduct

- **Health Insurance Portability & Accountability Act of 1996 (HIPAA)**
- **Gramm-Leach-Bliley Act of 1999**
- **Patriot Act of 2001**
- **Sarbanes-Oxley Act of 2002**
- **Help America Vote Act of 2002 (HAVA)**
- **More mandates to come**

Records must be managed and destroyed methodically in normal course of business

Why are we concerned about these records?

- e-commerce is driving many state agencies so much of what will become historically significant is ending up online—Montana in fact increased it’s rating in 2006 from 31st in the nation to 12th in 2007—according to the eighth annual e-government analysis conducted by researchers at Brown University. We need to preserve those records.
- It is in our mandate to preserve records of historic significance, work with RM to establish retention schedules etc. for state and local records;
- Our patron base is shifting...get stats on in-house versus out...growing demand for online content—profession at large is recognizing importance of our knowledge base in addressing issues for e-records of permanence legal, fiscal or administrative value.
- If we do not get in on the front end of these discussions, there will be no infrastructure in place for us to harvest historically significant records from.

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Monica Smith – Fiscal Representative

Patti announced there is one more member from the State Records Committee that couldn't be in attendance. Monica serves to uphold the financial and performance auditing areas and how good record and information management supports that aspect. We will hear more from Monica at next month's meeting.

Email Management – A Topic So Broad It Needs Additional Attention

Patti spoke to the challenges of email management as it relates and exists for Montana. It is one of the largest arenas to 'wrap our arms around'. No matter what conference or workshop she goes to, email always draws the largest crowds and after this many years of using it, there are still many issues needing addressed. Outlook was never intended to be a file manager. There is the hope that Outlook 2007 will include more capabilities for users. With these brief thoughts, she introduced the next speaker, Randy Holm.

Email Management – Randy Holm, Department of Administration-ITSD

In the past ITSD really didn't have to deal with other agencies regarding records management and are now having issues hit them in the face.

Structured data includes databases which require more forethought in creation. The ability to create unstructured data is turned over to the user(s) and we have not given them much guidance in how to manage them.

Incorrect assumptions:

- Computers are magic and will keep stuff forever

- Users know what they are doing

We must focus on email because of the huge numbers (volume) and the extent of work being accomplished via email. We also face the complexity of the email documents (attachments, variety of formats, search ability, mismanagement, etc.).

Backup storage for these tapes is expensive--\$100,000 in media alone—no people costs are included. DOA-ITSD also has obsolete email media stored, as well, that is on tapes, on systems and platforms that are no longer available and the data may not be able to be retrieved. Or, perhaps retrievable, but at great expense.

The general problems—too many email records are being kept...and users may be keeping wrong records. Most keep too much for too long. The same is true for ITSD because of configuration of the servers. While ITSD must keep something or some records for an agency, they end up keeping all records on that server. Agencies share server space and this can equate to 6 or 8 other agency's records.

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MT's practice is also using back up tapes for access, rather than truly archiving—using disaster recovery system for access. We need to separate these two functions because they serve two, distinct purposes.

Management is decentralized...users can keep email as long as they want—either on outlook or in personal folders (pst) or on c:drives, etc.

Today, there is a 50MB limit, yes, but users just move it to another format or space or for a nominal cost purchase additional space. Managing the records is just not known.

Along with records management, eDiscovery did not really exist to ITSD. This conjunctive requirement is just now coming into the knowledge or workflow of ITSD employees.

Records management parameters can be placed on email to set retention etc. While perhaps rudimentary, they are a start. See the Email guidelines published on the Secretary of State website.

http://www.sos.mt.gov/RMB/forms/MT_Email_Guidelines_06.pdf

ITSD can work to establish enterprise wide policies, but each agency should have its own internal policies to manage email. The 30-day policy was meant to say no longer than 30 days. People are interpreting as we have to keep things 30 days. Overall we have too much redundancy and are kept too long.

ITSD can find technology tools, but they are not records managers, with minimal to no understanding of the legal, audit, administrative requirements. Obsolescence is an issue for all records. Outlook was never meant to be a records management system. Psts are the current best option.

There is a great need to understand the truly differing definitions of 'archives' that exists between IT and Historical staffs.

Committee Mission

Patti proposed spending the last few minutes on the committee's mission and picking up on this at the next meeting. Secretary Johnson stated the importance of defining our mission and that we need to establish goals (specific marks) so that we do not become overwhelmed.

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Other comments included:

SOS should be the lead voice

At some point, all governmental entities need to be included—local, tribal etc.

Purpose should be to make recommendations. To whom?

Dick Clark stated that this is a long term project that should probably be viewed as multi phased: strategic plan, legislative package for next session, PR blitz, etc.

(DRAFT) Mission Statement:

The eRIM Steering Committee serves the State of Montana in the adoption and recommended implementation of electronic records and information management policy (to the policy makers, enterprise) supported by the records management, legal, information technology, business and preservation communities, to support public access balanced with right to know and right to privacy; to create a framework for managing state, local (and other, tribal) government and public entities; to chose a defacto leader to represent government agencies.....

Other comments included:

Strategic Plan – adopted by legislation (10 year plan?)

Biennial (EPP Process)

Administrative Rules

Legislative packages

Glossary of Terms

Resource Directory

Obtain University committee member

Speak English

Send out minutes prior to next meeting

As lunch was served, Patti Borsberry again thanked everyone for attending and wished everyone a Happy Thanksgiving.

Next Meeting Announcement

December 19, 2007, in the State Capital - Room 152, from 9:00 am – 4:00 pm.